

Practitioner's Docket No. U 013711-6

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application

of _____

Inventor(s) _____

for _____

Title of invention _____



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MAR 07 2002
TC 1700

OR

In re application of: Hiroyuki ONISHI, et al

Serial No.: 10/009/884

Group No.: _____

Filed: November 13, 2001

For: SURFACE TREATMENT METHOD, SURFACE-TREATED PRODUCT AND SURFACE TREATMENT APPARATUS

Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
WITHIN THREE MONTHS OF FILING OR
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. 1.97(b))

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10*

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37 C.F.R. 1.8(a)

37 C.F.R. 1.10*

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Date: February 1, 2002

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(type or print name of person certifying)

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

NOTE: 37 C.F.R. 1.98(b):

- (1) Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.
- (2) Each U.S. patent application published listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.
- (3) Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.
- (4) Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.
- (5) Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.

WARNING: No extension of time can be had under 37 C.F.R. § 1.36 (a) or (b) for filing an IDS. 37 C.F.R. § 1.97(f).

NOTE: The "filing date of a national application" under 37 C.F.R. 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark office, the filing is defined in 37 C.F.R. 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 C.F.R. 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. 37 C.F.R. 1.97(b)(2).

IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).

NOTE: "No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."

NOTE: "An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

WARNING: "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63).



SIGNATURE OF PRACTITIONER**CLIFFORD J. MASS**

(type or print name of practitioner)

Reg. No. 30,086

Tel. No.: (212) 718-1890

Customer No.: 00140

P.O. Address_____
c/o Ladas & Parry
26 West 61st Street
New York, N.Y. 10023

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Hiroyuki ONISHI, et al

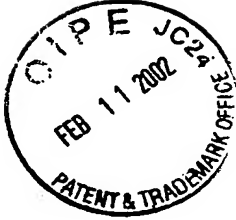
Serial No.: 10/009/884

Group No.:

Filed: November 13, 2001

Examiner.:

For: SURFACE TREATMENT METHOD, SURFACE-TREATED PRODUCT
AND SURFACE TREATMENT APPARATUS



Attorney Docket No.: U 013711-6

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

We draw the attention of the Examiner to the attached references which are considered in the specification and which are also listed on the attached Form PTO-1449.

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Respectfully submitted,

CLIFFORD J. MASS

LADAS & PARRY

26 WEST 61ST STREET

NEW YORK, NEW YORK 10023

REG. NO.30,086(212)708-1890

CERTIFICATE OF MAILING (37 CFR 1.8a)

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FORM PTO-1449

U. S DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO.

U 013711-6

10/009,884

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

APPLICANT

Hiroyuki ONISHI, et al.

FILING DATE

GROUP

November 13, 2001

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
														YES	NO
	AC	1	1	2	7	9	4	4	0	10/1999	JP			X	
	AD	1	1	2	7	7	9	2	4	10/1999	JP			X	
	AE	1	1	2	7	9	4	4	1	10/1999	JP			X	
	AF	1	0	2	9	1	3	7	7	11/1998	JP			X	
	AG			9	4	8	1	8	0	2/1997	JP			X	
	AH			7	4	1	7	2	6	2/1995	JP			X	
	AI		0	4	0	6	7	6	1	1/1991	EP			X	
	AJ	1	1	2	9	1	6	2	3	10/1999	JP			X	

OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)

AK	Patent Abstracts of Japan including translation of the abstract, specification and claims
	Publication number 11-279440 dated October 12, 1999
AL	Patent Abstracts of Japan including translation of the abstract, specification and claims
	Publication number 11-277924 dated October 12, 1999
AM	Patent Abstracts of Japan including translation of the abstract, specification and claims
	Publication number 11-279441 dated October 12, 1999
AN	Patent Abstracts of Japan including translation of the abstract, specification and claims
	Publication number 10-291377 dated November 4, 1998
AO	Patent Abstracts of Japan including translation of the abstract, specification and claims
	Publication number 09-048180 dated February 18, 1997
AP	Patent Abstracts of Japan including translation of the abstract, specification and claims
	Publication number 07-041726 dated February 10, 1995
AR	Patent Abstracts of Japan including translation of the abstract, specification and claims
	Publication number 11-291623 dated October 26, 1999

EXAMINER:

Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

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INFORMATION DISCLOSURE
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APPLICANT

Hiroyuki ONISHI, t al.

FILING DATE

GROUP

November 13, 2001

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER										DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
																YES	NO
	AD	6	2	1	7	0	3	8	2		7/1987	JP					X
	AE	1	1	2	7	7	7	2	4		10/1999	JP				X	
	AF	1	1	2	6	3	0	5	2		9/1999	JP				X	
	AG		9	2	7	2	1	9	9		10/1997	JP				X	
	AH		0	7	0	3	0	8	7		3/1996	EP				X	
	AI	6	3	1	9	9	6	4	9		8/1988	JP					X
	AJ		6	1	4	7	2	8	4		3/1986	JP					X
	AK																

OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)

	AL	Patent Abstracts of Japan Publication number 62-170382 dated July 27, 1987
	AM	Patent Abstracts of Japan including translation of the abstract, specification and claims
		Publication number 11-277724 dated October 12, 1999
	AN	Patent Abstracts of Japan including translation of the abstract, specification and claims
		Publication number 11-263052 dated September 28, 1999
	AO	Patent Abstracts of Japan including translation of the abstract, specification and claims
		Publication number 09-272199 dated October 21, 1997
	AP	Patent Abstracts of Japan Publication number 63-199649 dated August 18, 1988
	AR	Patent Abstracts of Japan Publication number 61-047284 dated March 7, 1986
	AS	

EXAMINER

DATE CONSIDERED

EXAMINER:

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